

## Appendix A

### Summary of Whistleblowing reports received 2020/21

Despite a number of well publicised reports across organisations of a high level of Covid-related reports since March 2020, only 3 Covid concerns were raised via Post Office whistleblowing channels, which appears to indicate that the measures put in place and the information provided by Post Office were robust:

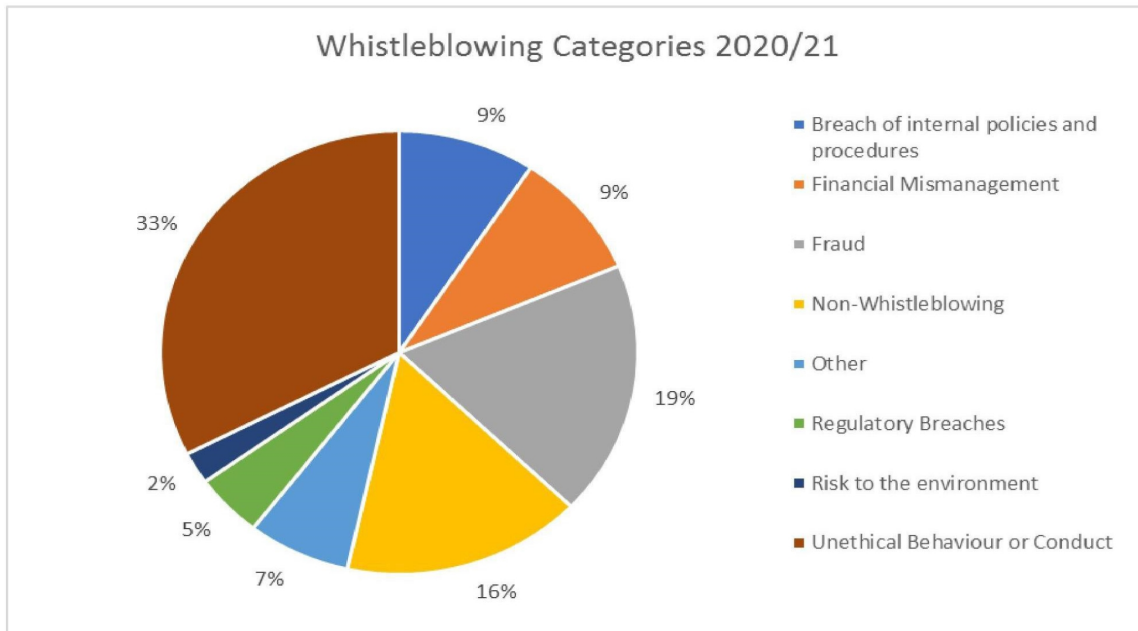
- 43 whistleblowing reports were received (an increase of 5% on the previous year) and 51 cases were closed (a number of cases closed were historic from 2019/20).
- Compared to 2019/20, there was an increase in anonymous and employee reporting and a reduction in Postmaster and member of the public reports.
- The majority of the allegations were about Postmasters (15 reports), closely followed by employees (13 reports). Of the 15 Postmaster cases 4 were substantiated and 11 unsubstantiated.
- The majority of reports in 2020/21 related to Postmasters, with 73% being unsubstantiated. Of the 4 substantiated reports:
  - One related to allegations by a Postmaster assistant of mails fraud and resulted in the termination of the Postmaster contract
  - One related to an anonymous report relating to cash discrepancies. The Postmaster was suspended and arranged to repay the monies owing.
  - Two related to the sharing of SmartIDs (evidence of use of one Postmaster's own ID when he was out of the country and other Postmaster admitted sharing). Dealt with via Contracts and regular ongoing oversight by Area Managers
- A further 8 cases were substantiated. These related to a number of issues:
  - Employee posting inappropriate comments on social media
  - Theft by Postmaster assistant
  - Non-conformance by employees with Post Office policy and procedures
  - Employee SmartID mis-use
  - Concerns about employees not following Covid-19 isolation requirements

Allegations reported by	Volume 19/20	Volume 20/21	Percentage Increase/Decrease
Anonymous	9	14	55%
Agent Assistant	9	7	-22%
Postmaster	3	2	-33%
Employee	11	15	36%
Member of the public	9	5	-44%
Third Party*	0	0	0%

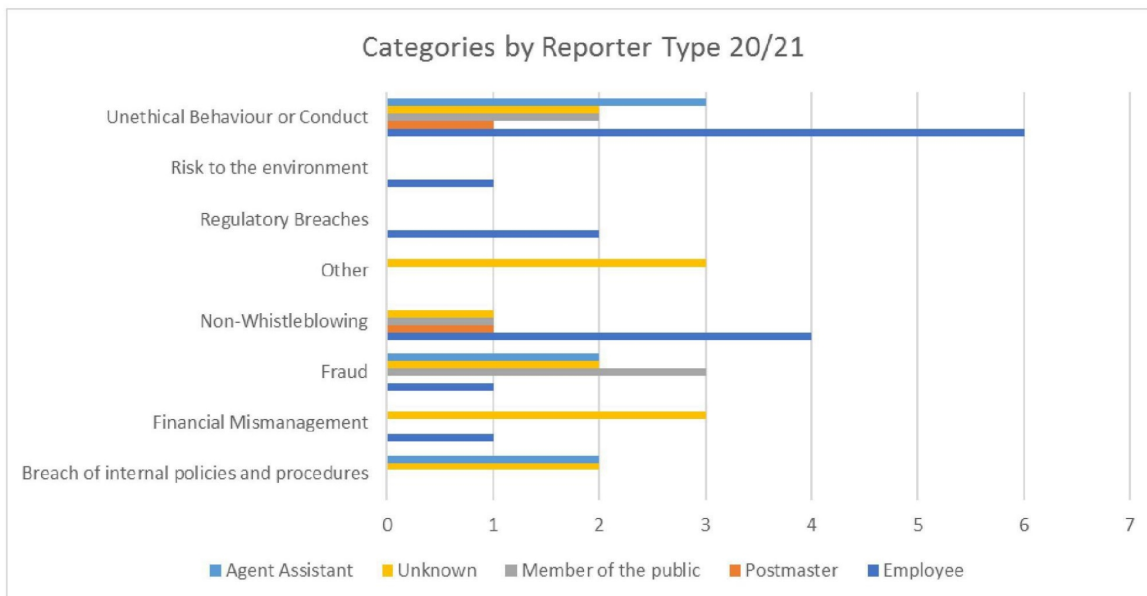
\*This includes the Police, Royal Mail and Bank of Ireland

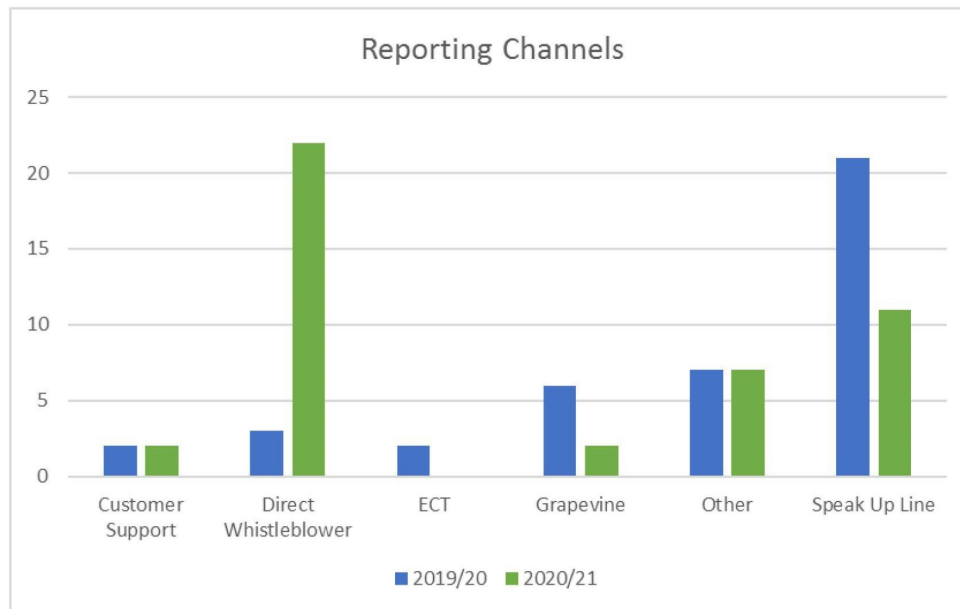
Who the allegations was about	Volume 19/20	Volume 20/21	Percentage Increase/Decrease
Postmaster	7	15	114%
Employee	9	13	44%
Unknown	4	3	-25%
Agent Assistant	5	3	-40%
Branch	14	5	-64%
Post Office Ltd	2	4	100%

Due to the recent initiatives to raise awareness of the whistleblowing service and promote a speak up culture within the business we have seen 34 cases up to Period 5 2021/22, averaging 7 cases per month we currently predict therefore a 90%+ increase in 2021/22.



- In comparison to 2019/20, reports relating to unethical behaviour or conduct increased from 15% to 33% (50% of these relate to Post Office employees, although no underlying trend observed), whilst allegations relating to fraud decreased from 34% to 19%, we have also seen a reduction in reports relating to regulatory breaches from 20% to 5%
- 8 of the 15 reports raised in relation to Postmasters were regarding concerns of fraud and unethical behaviour or conduct.





- We have seen a decrease in the number of cases raised via the Speak Up line and an increase in them coming directly to the Whistleblowing mailbox. However, year to date for 2021/22 we have seen referrals from the Customer Support Team being the largest percentage of cases (38% or 13 reports), driven by coaching and collaboration between the Whistleblowing and the Customer Support teams.

## Appendix B

Action	By when	Status	Comments
Determine whether there is any evidence of detriment to whistleblower reporters or subjects	March	Completed	
RCC and ARC whistleblowing approach and policy approval	March	Completed	
Interviews for new Whistleblowing Manager role and recruitment	April	Completed	
Design and deliver new employee Success Factors whistleblowing training module	April	Completed	
Design and deliver new Team Talk whistleblowing training module for DMB staff and Supply Chain (non-Success Factor users)	April	Completed	
Establish monthly meetings with the postmaster and customer complaints teams to review complaints or issues	May	Completed	This has resulted in an increase of the number of cases referred to us from Customer Support
Training and induction for Whistleblowing Manager	May	Completed	
Design a programme of continual communication and awareness (including Postmasters)	May	In progress	Ongoing process
Establish quarterly meetings with Whistleblowing Champion	May	Completed	Two successful meetings completed
Develop and roll out whistleblowing investigation report	May	Completed	Implemented and working well
Source new Speak Up service provider and implement new case management system	July	Completed	New provider sourced and system live within 6 weeks
Develop and roll out whistleblower feedback process	August	In Progress	
Recruit independent whistleblowing investigators	August	Completed	Two confirmed appointments, due to start October and November
Whistleblowing report to RCC and ARC	September	Completed	
Design and deliver employee survey via One Comm to test whistleblowing process awareness	September	In progress	Moved to September to allow for all the additional activities to be completed

Refresh and deliver new whistleblowing posters to all Post Office back office locations and DMBs	September	In progress	Intentional delay, offices haven't returned and new speak up contact details needed to be established
Transition all cases onto new management system	September	In progress	Temp resource being recruited to support this process
Develop new MI and reporting from Concervent system	September	In progress	Temp resource being recruited to support this process
On-boarding and induction of Compliance Investigations Officers	October	Not Started	
Enhance on-boarding and line manager training relating to whistleblowing	October	Not Started	Initial conversations held with People Function
Document all new case management and investigations procedures and guidelines	October	In progress	Temp resource being recruited to support this process
Design and deliver a 'raising issues' poster for Postmasters to include speak-up contacts	October	In progress	Working with Network and Comms teams on design
Re-run Protect self-assessment benchmarking	October	Not Started	Intentional delay to ensure all additional activities are captured within the results
Develop and roll out whistleblowing investigation training	October	Not Started	Intentional delay to allow the new investigators to commence employment
Review and amend Whistleblowing annual training module	November	Not Started	